Civil Service Commission

1055 MONTEREY STREET, SUITE D-250 . SAN LUIS OBISPO, CALIFORNIA 93408 . 805.781.5959

San Luis Obispo County Civil Service Commission Regular Session Meeting Wednesday, January 23, 2013 @ 9:00 A.M. 1055 Monterey Street, Suite D-271 San Luis Obispo, CA



AGENDA

MEMBERS OF THE COMMISSION Robert Bergman Wayne Caruthers Arthur Chapman Betsey Nash William Tappan

- 1. Call to Order / Flag Salute / Roll Call
- 2. Election of Officers
- 3. Public Comment Period

Members of the public wishing to address the Civil Service Commission on matters other than those scheduled below may do so when recognized by the President. Presentations are limited to three minutes per individual.

4. Minutes

The following minutes are submitted for approval:

a. December 19, 2011 - Regular

5. Reports

- a. Commission President
- b. Commission Counsel
- c. Commission Secretary
- d. Commission Outside Counsel Fair Hearing Training (Location Information: If conference room D-271 exceeds maximum occupancy, an additional viewing and public comment location will be available in conference room D-160)
- 6. Adjournment

Civil Service Commission



The San Luis Obispo County Civil Service Commission
Regular Session Meeting
Wednesday December 19, 2012 @ 9:00 A.M.
1055 Monterey Street, Suite D-271, San Luis Obispo, CA



MEMBERS OF THE COMMISSION Jeannie Nix, President Jay Salter, Vice President William Tappan Robert Bergman Arthur Chapman

MINUTES

Present:

President Jeannie Nix, Vice President Jay Salter, Commissioner Art Chapman, Commissioner

Robert Bergman, Commissioner Bill Tappan

Staff:

Commission Secretary Tami Douglas-Schatz; Commission Clerk Robin Mason

Counsel:

Commission Counsel Tim McNulty

1. Call to Order/ Flag Salute/ Roll Call

President Nix called the meeting to order at 9:03 A.M. and led the flag salute.

2. Public Comment Period

Members of the public wishing to address the Civil Service Commission on matters other than those scheduled below may do so when recognized by the President. Presentations are limited to three minutes per individual.

District 5 Supervisor Jim Patterson: Thanked the Commission on behalf of the Board of Supervisors.

Ed Waage: Expressed appreciation to Commission.

President Nix: Being no other requests, she closed the Public Comment Period.

3. Minutes

November 28, 2012

A motion was made by Commissioner Chapman and seconded by Commissioner Tappan to approve the October 24, 2012 regular meeting minutes as written; the motion carried 5-0-0.

4. Reports

a. Commission President

No report.

b. Commission Counsel

No report.

c. Commission Subcommittees

No report.

Civil Service Commission



d. Commission Secretary

Tami Douglas-Schatz noted the page reference number was corrected from 3D(1) to 4D(1) and presented the draft 2013 Commission calendar for approval.

Commissioner Chapman: made motion to approve the 2013 Commission calendar.

Commissioner Bergman: seconded; the motion carried 5-0-0.

5. Job Class Specifications – For Informational Purposes Only (No Action)

- a. Administrative Services Manager
- **b.** Assessment Manager
- c. Social Worker I, II, III, IV

President Nix: Accepted the recently approved job specification revisions for filing and thanked staff.

6. Recognition

Tami Douglas-Schatz thanked President Jeannie Nix and Vice President Jay Salter for their work on the Commission.

President Nix: opened the public comment period for this item.

SLOCEA General Manger Kimm Daniels: thanked the Commission for their work.

County Auditor-Controller Gere Sibbach: thanked the Commission for their service over the years.

Deputy County Counsel Susan Hoffman: thanked the Commissioners for their public service.

President Nix: closed the public comment for this item as there were no further requests.

Tami Douglas-Schatz: honored Jeannie Nix and Jay Salter with resolutions of appreciation.

Commissioner Bob Bergman: read the Resolution of Appreciation (*Attachment 1) for Jeannie Nix and passed to the Commissioners for their individual signatures.

President Nix: thanked the Commissioners for the resolution of appreciation.

Commissioner Tappan: expressed appreciation for her work on the Commission as well as friendship.

Commissioner Chapman: thanked President Nix.

President Nix: thanked all members of the Commission and expressed appreciation for their time together serving on the Commission. She further stated her appreciation of Tami and HR staff, Susan Hoffman and SLOCEA representatives' attendance at every regular meeting.

Commissioner Chapman: read Resolution of Appreciation for Jay Salter (**Attachment 2) and commented on his years of CSC rules revisions and balanced perspective on the "Citizen's Commission" and his excellent use of language.

4a-2





Vice President Salter: thanked the Commission for the gift of the resolution.

Commission Counsel Tim McNulty: suggested that the Commission vote on the resolutions.

Commissioner Chapman: made a motion to approve the Resolutions of Appreciation for President Nix and Vice President Salter.

Commissioner Tappan: seconded; the motion carried 5-0-0.

Tami Douglas-Schatz: invited all to stay for refreshments.

7. Adjournment

Being no further business, President Nix adjourned the meeting at 9:35 A.M.

^{*} Note: These minutes reflect official action of the Civil Service Commission. A digital record exists and will remain as the official, complete record of all proceedings by the Civil Service Commission.



CIVIL SERVICE COMMISSION COUNTY OF SAN LUIS OBISPO, STATE OF CALIFORNIA

Presented by Vice President Jay Salter, Commissioner Art Chapman, Commissioner Robert Bergman and Commissioner William Tappan on this 19th day of December in the year 2012

Resolution of Appreciation to

JEANNIE NIX

for Outstanding and Dedicated Service as a Civil Service Commissioner to the San Luis Obispo County Civil Service Commission

The following resolution is hereby offered and read:

WHEREAS, Jeannie Nix served as a Commissioner to the San Luis Obispo County
Civil Service Commission from November 17, 1999 through December 17, 2008 and
returned to the Commission on April 26, 2010; and

WHEREAS, Jeannie Nix conscientiously and faithfully carried out her duties as a Civil Service Commissioner; and

WHEREAS, Jeannie Nix was elected as President of the Civil Service Commission on January 26, 2011 and was re-elected on January 19, 2012; and

WHEREAS, Jeannie Nix brought a unique and inquisitive perspective from her background as a previous Executive Director of the Red Cross. She provided an executive's view of the actions of employees and department managers when hearing appeals conducted by the Civil Service Commission.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the Civil Service Commission of the County of San Luis Obispo, State of California, that Jeannie Nix is hereby commended and thanked for her dedicated service while serving the Commission as one of its Commissioners.

The foregoing resolution is hereby adopted with respect and honor as signed by the Honorable Commissioners for the County of San Luis Obispo.

C P D I I B

marissioner Art Chabman

illiam Tappan

49-4



CIVIL SERVICE COMMISSION COUNTY OF SAN LUIS OBISPO, STATE OF CALIFORNIA

Presented by President Jeannie Nix, Commissioner Art Chapman, Commissioner Robert Bergman and Commissioner William Tappan on this 19th day of December in the year 2012

Resolution of Appreciation to

JAY SALTER

for Outstanding and Dedicated Service as a Civil Service Commissioner to the San Luis Obispo County Civil Service Commission

The following resolution is hereby offered and read:

WHEREAS, Jay Salter began his service as a Commissioner to the San Luis Obispo County Civil Service Commission on February 16, 2005; and

WHEREAS, Jay Salter conscientiously and faithfully carried out his duties as a Civil Service Commissioner; and

WHEREAS, Jay Salter was elected as Vice President of the Civil Service Commission on January 19, 2012; and

WHEREAS, Jay Salter brought a unique and energetic perspective from his background in labor relations through which he viewed the actions of employees and department managers when hearing appeals conducted by the Civil Service Commission; and

WHEREAS, Jay Salter's bold and spirited written and verbal communication style brought a passion to his service to the Commission.

NOW, THEREFORE, BE IT RESOLVED AND ORDERED by the Civil Service Commission of the County of San Luis Obispo, State of California, that Jay Salter is hereby commended and thanked for his dedicated service while serving the Commission as one of its Commissioners.

The foregoing resolution is hereby adopted with respect and honor as signed by the Honorable Commissioners for the County of San Luis Obispo.

111/2

Commissioner William Tappan

Commissioner Art Chapman

4a-5

Introduction to Appeals, Process, and Hearings



San Luis Obispo County Civil Service Commission



Steven L. Simas



- Outside Counsel to Commission (May 2012)
- Advise Commission regarding hearing process
- Represent Commission at hearings
- Experience
 - Simas & Associates, Ltd. -2002 to present
 - Deputy Attorney General, Office of the Attorney General
 - Legal Counsel, Public Employment Relations Board
- Chief Consultant, California State Assembly, Committee on Labor and Employment

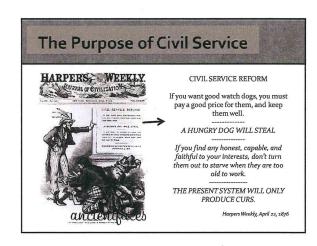
Purpose of the Program

■ To familiarize attendees with the history, purpose, process, and procedures of the San Luis Obispo County Civil Service Commission ("Commission").

Topic Overview

- The Purpose of Civil Service
- Brief History of the Commission
- Jurisdiction of the Commission
- Administrative Hearings
- Anatomy of a Disciplinary Action
- Commission Decisions
- Judicial Review

The Purpose of Civil Service To abolish the spoils system...



The Purpose of Civil Service

- Purpose of a civil service system:
 - To avoid or eliminate political patronage (spoils
 - To promote the "merit principle" and create a meritbased system based upon:
 - Examinations
 - Job-related qualifications
 - Classifications of positions
 - · Career-focused tenure

(See e.g., Government Code section 18500)

The Purpose of Civil Service (cont.)

- Early California Supreme Court cases-
 - 1941– *Allen v. McKinley*, 18 Cal.2d 697
 - Eighteen SF tax employees challenged an open-exam for a new position, because the SF County Charter stated that "when practicable," current employees should be promoted, rather than new employees hired through an open-exam system.

The Purpose of Civil Service (cont.)

- The Allen court held that:
 - This provision embodies one of the fundamental concepts of a sound civil service system;
 - All authorities agree that promotions are an essential of a sound civil service system;
 - The purpose of civil service is twofold--to abolish the socalled spoils system, and to increase the efficiency of the service by assuring the employees of continuance in office regardless of what party may then be in power; and
 - Efficiency is secured by the knowledge on the part of the employee that promotion to higher positions when vacancies occur will be the reward of faithful and honest service. (Allen v. McKinley, supra, 18 Cal.2d at 705).

The Purpose of Civil Service (cont.)

- 1949--Almassy v. L.A. County Civil Service System, 34 Cal.2d 387
 - A probation officer in LA County challenged the validity of two promotional exams, both of which he failed. This was an early test of the authority of county civil service commissions (note that the date is 1949, the year the Enabling Law came into
 - The officer lost the case, and court cited Allen v. McKinley.

The Purpose of Civil Service (cont.)

- The Almassy court held that:
 - Unquestionably, the ascertainment of fitness and merit for office is the primary objective of the civil service system;
 - A competent procedure for promotion is an essential part
 - That the Allen court was correct that the purpose of the civil service system is:
 - "to abolish the so-called spoils system" in the matter of
 - "to abousn the so-called spoils system" in the matter or appointment in the service;
 "to increase the efficiency" of employees therein "by assuring [them] of continuance in office regardless of what party may then be in power"; and to increase the opportunity "for promotion to higher positions when vacancies occur [as] the reward of faithful and honest" work.

The Purpose of Civil Service (cont.)

- Section Recap:
 - The purpose of civil service is:
 - To eliminate the spoils system
 - To establish a merit-based system
 - To encourage promotion from within
 - To encourage longevity of careers
 - To match those with the skills with the job that needs them

Brief History of the Commission

Established 1949



Brief History of the Commission

- 1947—County Civil Service Enabling Law
 - Government Code sections 31100 -31117
 - Authorized Board of Supervisors to adopt a civil service system (section 31104)
 - Required approval of voters (Section 31105)
 - Required appointment of Commission (Section 31110)
 - Authorized Commission to issue subpoenas, administer oaths to witness before the Commission
 - Provided for election/appointment of Commissioners

Brief History of the Commission (cont.)

- 1949—Voters approved Civil Service Commission Ordinance creating Commission
- SLO County Ordinance 2.40.10 2.40.150 establish the Commission
- Commission duties include:
 - Prescribe, amend, repeal and enforce rules for the classified service, which shall have the force and effect of law.
 - Keep minutes of its proceedings and records of its examinations.

Brief History of the Commission (cont.)

- Make investigations concerning the enforcement and effect thereof and of the rules and efficiency of the service.
- Make an annual report to the Board of Supervisors.

(SLO Co. Ord., sec. 2.40.070).

Brief History of the Commission (cont.)

- Duties of the Personnel Director (Human Resources Director):
 - Administer the civil service system "under general supervision of the commission."
 - Administer the civil service system pursuant to rules adopted by the Commission.
 - Provide a secretary to the Commission (to be approved by the Commission.
 - Prepare a budget for the Commission
 - Advise the Commission upon civil service matters
 - Maintain records of the Commission

SLO Co.Ord. sec. 2.40.70(b).

Brief History of the Commission (cont.)

- The Commission is required to provide rules for:
 - Classification of all positions.
 - Open examinations.
 - Creation of eligible lists from competitive examination.
 - For appointment of 1-10 persons standing highest on list.
 - For noncompetitive examinations for minor positions when competition is not practical.
 - For noncompetitive examination eligible lists.
 - For appointments from both competitive and noncompetitive lists.
 - For public advertisement of examinations. For rejection of candidates who fail to comply with Commission requirements, or otherwise have issues regarding qualifications.

Brief History of the Commission (cont.)

- For probationary periods.
- For provisional appointment of persons when no eligible list exists
- For temporary appointments to nonpermanent positions.
- · For transfer from one position to another.
- For reinstatement of permanent employees to their positions under certain circumstances.
- For promotions.
- For performance review and reporting.
- · For grievance and complaint resolution.
- For adoption and amendment of rules after public notice and hearing.

(SLO Co.Ord. sec. 2.40.80).

Jurisdiction of the Commission

Responsibilities and Types of Cases Heard



Jurisdiction of the Commission (cont.)

- Responsibilities of the Commission:
 - Civil Service Commission Rule 3.01:
 - Prescribe, amend, repeal and enforce Civil Service Rules
 - · Oversee administration of County Civil Service Program
 - Consider legitimacy of grievances and hear appeals and grievances
 - Conduct disciplinary hearings

Jurisdiction of the Commission (cont.)

- Types of cases before Commission (Rule 4):
 - Grievances
 - A grievance is a dispute between one or more classified employees and the County involving the interpretation, application or enforcement of a County ordinance, rule, policy, practice or agreement (Rule 4-03(a)).
 - Appeals
 - An appeal is a request for a review of an action taken by either the Human Resources Director or the Appointing Authority as set forth in Rule 4.04(b) [Types of appeals].

Jurisdiction of the Commission (cont.)

- Grievances and Appeals-General Conditions (Rule 4.02)
 - Right of Grievant of Appellant to participate, including to be present, prepare for proceedings
 - Right to representation of "any employee or group of employees"
 - Right to be free from retaliation for participating in grievances and appeals

Jurisdiction of the Commission (cont.)

- Scope of Grievances:
 - Not everything is "grievable"
 - The scope of grievance is "limited...to complaints of unfair or improper treatment in County employment and to matters specifically involving the interpretation or applications of ordinances, rules, policies, practices and agreements." (Rule 4.03(b)).

Jurisdiction of the Commission (cont.)

- What is specifically not grievable (Rule 4.03(b)(1)-(3):
 - Matter which require the amendment or change to the Board of Supervisor's Policies, including:
 - County Code and Resolutions of the Board of Supervisors
 - Commission Rules
 - Matters within the Employee Relations Policy formally adopted by the Board of Supervisors
 - Any action where there is already an appeal procedure to the Commission
 - Workers compensation matters

Jurisdiction of the	COUNTY OF SAM LUIS CRISFO GRIEVANCE FORM		
Commission (cont.)	Province Described in County Generative Center, 1893 Novemer, St. Str. D2592 Str. 2016/00ps, CA 9383/2 (105,731.55)		
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	Name	Gr Examination Title	
Grievance Form	Address	Department	
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(available offilite)	Telephone (805)	Engreserative (d'applicable)	
Must include the following information: Nature of Grievance—including specific facts and events that are the basis of the grievance.	This form is imposed to be completed to state a <u>administration</u> to the Groof Service Commission in accordance with Auto 4. Buy 4.55 RESENCES-SERVICES SERVICES. The recognition and solidated horizon a finished on appropriate in completed of uniting or improved in a completed of uniting and appropriate and appropriat		
Violation or Infraction— including the specific Civil	Paten the completed from its an existing resoluted COM PELINER: + Emission Resourced Paristins. County Generation Contact, 1913 Masteria Str. Str. D-295 San Law Olongo, CA 1925.		
Service Rule(s), Board of Supervisors regulation(s) or	In the following space, continuing on the revente side of this form, you are required to provide the following intermalant. If necessary, continue on adultional sheets of pages.		
other law(s) you believe have	Boure of orleaning. List the specific facts and events that are the basis of this prevance.		
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Relief requested – list the specific remedy or solution you are seeking in order to solve this grievance.	tennegas. Do es essab	ukland marala e erdece v čisára. Here upen pintejth	

Jurisdiction of the Commission (cont.)

- Brief Overview (Three Steps) of Grievance Process (Rule 4.03(c):
 - Step 1 Appointing Authority
 - Grievant files Grievance form with Human Resources Director within:
 - 20 business days following event that led to dispute;
 - or within 20 business days after it is determined that the dispute cannot be resolved informally.
 - Appointing Authority investigates, confers with Grievant to resolve, prepares written reply, and serves on HR Director and Grievant
 - If grievance not resolved, proceed to Step 2

Jurisdiction of the Commission (cont.)

- Brief Overview (Three Steps) of Grievance Process (Rule 4.03(c):
 - Step 2 Human Resources Director
 - Within 10 business days of service of Step 1 response, the Grievant may request Step 2 review by written notice to the Human Resources Director
 - Within 15 business days of service of Step 2 Notification, the Human Resources Director shall convene a meeting of the Grievant, Appointing Authority or designee, and any other necessary persons; shall document the meeting's outcome; and shall provide a copy to the parties.
 - If grievance not resolved, proceed to Step 3.

Jurisdiction of the Commission (cont.)

- Brief Overview (Three Steps)of Grievance Process (Rule 4.03(c):
 - Step 3 Human Resources Director Routing Decision
 - Within 10 business days of service of the Step 2 response, the Grievant or may request Step 3 review by written notice to the Human Resources Director
 - Within 35 business days of service of Step 3 Notification, the Human Resources Director shall notify the parties of his or her routing decision and notify the parties of pre-hearing date and hearing date before the Civil Service Commission or the Board of Supervisors
 - A Grievant may appeal the Human Resources Director's routing decision to the Commission president within five days and the President's decision is final

Jurisdiction of the Commission (cont.)

- Final Grievance Issues (Rule 4.03(e) and (f))
 - Rejection of Grievance
 - The Human Resources Director may reject a grievance for processing "due to insufficiency of information" required by Rule 4.03
 - Failure to Respond
 - Should a Grievant fail to proceed with the next step of the grievance process, the grievance will be deemed withdrawn.
 - Should an Appointing Authority or the Human Resources
 Director fail to proceed, the grievance will be unresolved and
 the Grievant will proceed to the next level.

Jurisdiction of the Commission (cont.)

- Types of Appeals to Commission (Rule 4.04):
 - Grievance routing decision the decision of the Human Resources Director regarding where to send the Step 3 Grievance
 - Classification action appeal of the decision of the Human Resources Director regarding the placement of a position into a classification (either party may appeal)
 - Applicant disqualification appeal of the decision of the Human Resources Director regarding the disqualification of an applicant for employment (applicant may appeal to Commission)
 - Examination administration appeal of the decision of the Human Resources Director following an investigation of an alleged exam administration error, impropriety, or ambiguity in the exam process (exam candidate may appeal)

Jurisdiction of the Commission (cont.)

- Types of Appeals to Commission (cont.):
 - Medical or physical standards disqualification appeal of the decision of the Human Resources Director regarding the disqualification of an applicant for employment for failure to meet medical or physical standards (applicant may appeal to Commission) Jurisdiction of the Commission (cont.)
 - Eligible list rejection appeal of the decision of the Human Resources Director to withhold, remove, or restore a person to or from an eligible list (candidate or employee can appeal)

 - Below satisfactory evaluations appeal of the issuance of a performance evaluation with an overall rating of less than Satisfactory (employee can appeal)
 Disciplinary actions appeal of a Letter of Reprimand or final written order made by an Appointing Authority imposing discipline on an employee (employee can appeal)

Jurisdiction of the Commission (cont.)

- Types of Appeals to Commission (cont.):
 - Grievance rejection appeal of the Human Resources
 Director's rejection of a grievance for insufficient
 information (employee can appeal)
 - Discriminatory probation rejection appeal of the decision of an Appointing Authority to reject an employee during his or her probationary period (appeal based upon discrimination per Rule 16.02) (employee can appeal)
 - Discriminatory treatment an allegation of discriminatory treatment as defined in Rule 16.02 (employee or applicant can appeal)

Jurisdiction of the	COUNTY OF SAN LUIS DEISPO APPEAL FORM		
Commission (cont.)	Personal Espatines a County Greenman Lears, 2015 Monterly Se, Sov. D-204 San Law Onlya, C4 1001 a 1865-711-959		
	Name		
	Address		
Commission	Otr, State, 39 Seds		
Appeal Form	Telephona (805)	Representative (if applicable)	
Must include: Appealable matter Specific facts	A distinct by the Personnel (1) A distinct by the Personnel (1) A distinct by the Personnel (1) A rectain of the Personnel (1) Replace Coil Service Rale of this patients to the Personnel (1) Replace Coil Service Rale of this patients to the personnel (1) Republic Coil Service Coil (1) Republic Coil (1)	The six LOTE of the Control of the C	
Rule, regulation or law not followed Relief requested	fallswing information. If necessary, continue to insured agent. Unlike the open forman or immension that the size before their responsibility to the continue of the continue	is, faculand exprise that, are tree basis of time appeal. pathol (third between Rusells), boots or buspervisions regulations in 5 of the sample).	

Jurisdiction of the Commission (cont.)	Unfair/Improper Treatment	
Fiscal Year 2010 – 2011	Rule 8/Medical	
Grievances and Appeals	Evaluation	
byType	Discipline (termination)	4
	Discipline (non termination)	3
	Classification	
(source Commission Annual Report FY 2010/2011)	Other	1

FiscalYear	Appeals and Grievances		
2010 - 2011	Rejected by Human Resources [Timeliness, non- appealable or non-grievable issues]	3	
	Resolved prior to Commission (withdrawn, dismissed, resolved per agreement)	6	
	Pending	5	
(source Commission Annual Report	Findings and Decisions	3	
(source Commission Annual Report FY 2010/2011)	Findings and Decisions Total Grievances and Appeals filed		

Administrative Hearings

Rules for Appeals and Commission Hearings



Administrative Hearings (cont.)

To have a property interest in a benefit, a person clearly must have more than an abstract need or desire for it. He must have more than a unilateral expectation of it. He must, instead, have a legitimate claim of entitlement to it. It is a purpose of the ancient institution of property to protect those claims upon which people rely in their daily lives, reliance that must not be arbitrarily undermined. It is a purpose of the constitutional right to a hearing to provide an opportunity for a person to vindicate those claims.

Skelly v. State Personnel Board (1975) 15 Cal. 3d 194, 207; emphasis added.

Administrative Hearings (cont.)

- Sources of rules for Commission hearings
 - Commission Procedural Guidelines, Section VI prehearing rules and procedures before hearing and submission of evidence
 - Rule 4.05 Hearings of the Commission rules for producing evidence and presenting at hearing
 - Rules of Administrative Law and Procedure
 - Case Law and other persuasive authority

Administrative Hearings (cont.)

- Post Appeal/Prehearing Matters
 - Prehearing Meeting (Comm. Proc. Guid., Sec. VI, A, 1) – parties meet with Commission Secretary to do the following:
 - Stipulations:
 - Enter stipulations regarding legal issues not in dispute
 - Enter stipulations regarding legal issues the Commission is to resolve
 - Enter stipulations regarding facts that are not in dispute
 - Enter stipulations regarding factual issues the Commission is to resolve

Administrative Hearings (cont.)

- Documentary evidence ("discovery"):
 - Parties must make every effort to submit to Commission Secretary 7 business days before hearing
- Must be legible and able to be reproduced
- Must provide original and 8 copies if colored text
- Must redact confidential information
- Commission Secretary will number and provide hearing packets to Commission no later than 5 business days before hearing and pre-mark exhibits:
- Appellant's Exhibits marked as "A"
- Respondent's Exhibits marked as "R"
- Joint Exhibits marked as "J"
- Commission Exhibits marked as "C"

Administrative Hearings (cont.)

- Witnesses
 - Commission Secretary may assist upon request of a party anticipating difficulty in obtaining a witness who is an officer or employee of the County:
 - The Secretary shall contact the officer and employee and apprise the officer and employee in lieu of issuing a subpoena, the Secretary is requesting the officer or employee's attendance at the hearing for the purpose of providing testimony to the Commission. In the event that the Secretary is unable to secure the attendance of a witness informally, if the party does not desire to utilize the services of the Secretary, or if the proposed witness is not a County officer or employee, the party may have the witness subpoenaed in accordance with Rule 4.07(1).

Administrative Hearings (cont.)

- Subpoenas
 - · Commission has legal authority to issue subpoenas for witnesses and production of documents (subpoena duces tecum) (Ord. 2.41.010(c) and (d)).
 - · Party requesting subpoena shall:
 - Obtain and complete subpoena form from Human Resources Director and Instructions for Service
 - Pay fees for SLO County Sheriff to serve subpoena
 - Limit of 10 subpoenas unless:
 - Requesting party can show good cause for more
 - Testimony of witnesses will not be cumulative

Administrative Hearings (cont.)

- Commission Hearings
- · President presides over hearing (Comm. Proc. Guid., Sec. VI, B)
- Party with initial burden of proof begins presentation of case
- Direct examination
- Cross examination Examination by Commissioners
- Party without initial burden of proof presents case
- Direct examination
- Cross examination
- Examination by Commissioners
- Rebuttal witness if good cause shown
- Summations

(See Comm. Proc. Guid., Sec. VI, B)

Administrative Hearings (cont.)

- Rule 4.05 The Commission Hearing
 - Notice of Hearing parties are to work with Human Resources Director to slect mutually agreeable dates
 - If no agreement, the Commission will set a date
 - · Hearing can be continued upon good cuase showing to Human Resources Director
 - Failure of a grievant or appellant to appear without good cause shall be deemed a withdrawal of his or her greivance/appeal and consent to the prior ruling or action (Rule 4.05(c)).

Administrative Hearings (cont.)

- Rights of parties at hearing:
 - Be represented by legal counsel or otherwise represented at such hearings and;
 - Testify under oath and;
 - Ouestion under oath any witnesses or other persons involved in or related to the matter being considered and;
 Impeach any witnesses before the Commission and;

 - Present such affidavits, exhibits, and other evidence as the Commission deems relevant to the inquiry; and
 - Argue his/her own case and
 - Receive a copy of recordings or transcripts of statements made during investigations and which were relied upon in taking the action, pursuant to Skelly v. State Personnel Board.

Administrative Hearings (cont.)

- Rule 4.05 The Commission Hearing
 - Rules of Evidence for Commission Hearings (Rule 4.05(d)
 - Informal rules –not conducted by formal rules evidence such as in
 - Relevant evidence shall be admitted regardless of existence of any law that would render it inadmissible
 - Hearsay evidence may be admitted for any purpose but if a party timely objects, it cannot support a finding of the Commission
 - Privileges apply as in a civil action
 - · Rules of official or judicial ntoice are same as in a civil action
 - · Commission may exclude evidence that is irrelevant or repetitious
 - · Oral evidence must be under oath or affirmation

Anatomy of a Disciplinary Action

Causes, Defenses and Penalties



- Types of Disciplinary Actions (Rule 14.01)
 - Types:
 - Demotions
 - Suspensions
 - Dismissals
 - Reduction in compensation
 - Employees who have attained Permanent Status (passed probation)
 - Must "consult with" HR director and County Counsel prior to imposing final discipline

Anatomy of a Disciplinary Action

- Grounds for Disciplinary Actions (Rule 14.02)
 - Similar to Government Code section 19572 (State Personnel Board)
 - 16 different grounds
 - Grounds are usually defined by law
 - Pleading incorrect grounds will likely result in dismissal of charges (or inability to prove elements)
 - Appointing authority must prove the elements of its cause of action by "preponderance of evidence" (Rule 4.05(h))

Anatomy of a Disciplinary Action

- Preponderance of the Evidence: As the California Supreme Court held in Skelly v. Superior Court (1975) 15 Cal.3d 194, 204, fn. 19:
 - At such hearing, the appointing power has the burden of proving by a preponderance of the evidence the acts or omissions of the employee upon which the charges are based and of establishing that these acts constitute cause for discipline under the relevant statutes. ..The employee may try to avoid the consequences of his actions by showing that he was justified in engaging in the conduct upon which the charges are based.

Anatomy of a Disciplinary Action

- Definitions of Causes for Discipline—
 - Importance on knowing definition of cause for discipline to be charged
 - Appointing authority must prove elements
 - The lesson of "Intemperance"
 - Government Code section 19572(h) under State Civil Service Act —"intemperance" is grounds for discipline

Anatomy of a Disciplinary Action

- QUIZ: What is intemperance?
 - Losing one's temper in front of others?
 - Lack of restraint?
 - Habitual intoxication or drunkeness?
 - Angry outburst at your supervisor?



- State Personnel Board defined this term finally in 1995:
 - Intemperance has been listed as a cause for discipline since the first State Civil Service Act was enacted in 1913. [Civil Service Act, Ch. 590, June 16, 1913.]
 - SPB Precedential Decision, Sharp-Johnson, 95-14 addressed this issue

- State Personnel Board held:
- When appellants Sharp and Johnson engaged in a series of childish and disruptive confrontations in DMV's mass mailing department, the ALJ erred in finding that " appellants' conduct demonstrated a lack of restraint which he found to constitute intemperance."
- The Board rejected the ALJ's Proposed Decision in part to examine whether "intemperance" as used in Government Code § 19572, subdivision (h), could be construed to include all excessive behavior or whether "intemperance" as used in the statute refers solely to conduct arising out of the use of alcohol.

Anatomy of a Disciplinary Action

- State Personnel Board concluded:
 - Although intemperance has never been defined in the Civil Service Act or Government Code, conduct identified as habitual intemperance was cited as a ground for divorce as early as 1870, [Act of March 12, 1870, ch. CLXXXVIII, 1870 Cal. Laws], and defined in 1872.
 - The legislature defined "habitual intemperance" as: that degree of intemperance from the use of intoxicating liquor which disqualifies the person a great portion of the time from properly attending to business, or which would reasonably inflict a course of great mental anguish upon an innocent party. [Civil Code § 106 (repealed 1969)].

Anatomy of a Disciplinary Action

Thus, as early as 1872, intemperance was defined in the law as conduct arising out of the use of intoxicating liquor. Consequently, we think it only reasonable that when the legislature specified intemperance as a cause for discipline in 1913, the legislature meant intemperance due to the use of alcohol rather than any excessive behavior or lack of restraint. (Sharp-Johnson, SPB Precedential Decision 95-15).

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02 Causes for discipline:
 - Any reason specified in Rule 6.03 regarding disqualification of applicants for employment and removal from eligible list
 - (b) Incompetence -- Defined as the "Absence of qualifications, ability or fitness" to perform duties (Pollack v. Kinder (1978) 85 Cal. App.3d 833, 839).

Anatomy of a Disciplinary Action

- Other examples of incompetence:
 - "Incompetency is generally found when an employee fails to perform his or her duties adequately within an acceptable range of performance." (Fortunato Jose (1993) SPB Dec. No. 93-34 at p.3)
 - Incompetence is generally more than one incident/error, but a "pattern" of lack of ability/performance. (MD (1995) SBP Dec. No. 95-10)
 - Repeated failure by police officer to meet incident reporting standards IS incompetence (MS (1994) SPB Dec. No. 94-19)
 - NOT incompetence when drunk employee (off-duty) crashes car in agency parking lot and damages sign, because NOT on duty and NOT related to work performance (Rey (1999) SPB Dec. No. 99-10).

- Definitions of Commission Rule 14.02 Causes for discipline:
 - (c) Inefficiency A charge of inefficiency is most often appropriate "when an employee continuously fails to achieve a set level of productivity or fails produce an intended result with a minimum of waste expense or unnecessary effort." (RB, (1993)SPB Dec. No. 93-21)

- Other examples of inefficiency
 - CHP officer did NOT commit "inefficiency," when he used state car and time to inappropriately visit civilian several times. (SK (1995) SPB Dec. No. 98-05).
 - NOT inefficiency when employee has unexcused absences (Carver (1996) SBP Dec. No. 96-18).
 - Repeated failure to meet incident reporting standards is inefficiency (MS (1994) SPB Dec. No. 94-19).

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02 Causes for discipline:
 - (d) Inexcusable neglect of duty "The intentional or grossly negligent failure to exercise due diligence in the performance of a known official duty." (UN, SPB Dec. No. 93-10)

Anatomy of a Disciplinary Action

Other examples of inexcusable neglect of duty

- Employees committed inexcusable neglect of duty when:
- State Police officer drove fast through intersection, while failing to turn on lights/siren (DM (1995) SPB Dec. No. 95-10)
- CHP committed inexcusable neglect of duty when he visited civilian during work hours, did not document and failed to notify dispatch of his whereabouts (KS (1998) SPB Dec. No. 98-05)
- Correctional officer neglected duty when she failed to follow protocol and unnecessarily disciplined an inmate in front of other inmates, thus causing unnecessary commotion and disturbance (WE (1999) SPB Dec. No. 99-09).

Anatomy of a Disciplinary Action

- Employees must neglect known duty:
 - Staff analyst violated "chain of command" policy by sending out work-related concerns to outside agency/personnel (*Betz* (1996) SPB Dec. No. 96-10) [no evidence employee "knew" of this policy]
 - Bridge engineer used state computers and phone for personal business and committed "inexcusable neglect" since employee knew of duty to only use state equipment for official purposes (Crovitz (1996) SPB Dec. No. 96-19)

Anatomy of a Disciplinary Action

Definitions of Commission Rule 14.02 Causes for discipline:

• (e) Insubordination – "In summary, to support a charge of insubordination, an employer must show mutinous, disrespectful or contumacious conduct by an employee, under circumstances where the employee has intentionally and willfully refused to obey an order a supervisor is entitled to give and entitled to have obeyed. A single act may be sufficient to constitute insubordination if it meets the above test." Richard Stanton (1995) SPB Dec. No. 95-02 citing Coomes v. State Personnel Board (1963) 215 Cal.App.2d770

Anatomy of a Disciplinary Action

Examples of insubordination:

- Employee failed to submit to a sobriety test when ordered to so (Flowers v. State Personnel Board (1985) 174 Cal. App. 3d 755)
- (Flowers v. State Personnel Board (1985) 174 Cal. App. 3d 755)

 Correctional officer found to be insubordinate for one incident of refusing to work her scheduled hours (Martin v. State Personnel Board, 132 Cal. App. 3d 460)
- CHP officer found to be insubordinate for refusing to cooperate during an administrative investigation (Fout v. State Personnel Board (1982)
- 136 Cal.App.3d 817)
- Insubordination found when state employee purposely communicated confidential information after he was specifically ordered not to release the information (Black v. State Personnel Board (1955) 136 Cal. App. 2d 904)

- Definitions of Commission Rule 14.02
 Causes for discipline:
 - (f) Dishonesty "intentional misrepresentation of known facts, willful omission of pertinent facts, or a disposition to lie, cheat or defraud." (Marc Shelton (1994) SPB Dec. No. 94-19)

Anatomy of a Disciplinary Action

- Examples of dishonesty:
 - Falsifying incident report, lying to investigators is "dishonesty" (Aguilar (2009) SPB Decision 09-01)
 - Hiding towels and lying to security guard is "dishonesty" even when employee was "off-shift" (Nguyen (1999) SPB Dec. No. 99-01)
 - Employee was not dishonest when he subjectively believed he could answer "no" to a pre-employment question asking whether he had been fired from any previous position (on advice from legal counsel, and reasonable subjective belief) (Toby (2001) SPB Dec. No. 01-04)

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02
 Causes for discipline:
 - (g) Inexcusable absence without leave when the employee is absent from work or a work related assignment or permission (*Frances Gonzales* (1993) SPB Dec. No. 93-13, pp. 3-4; *Haji Jameel* (2005) SPB Dec. No. 05-02, p. 16).

Anatomy of a Disciplinary Action

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Anatomy of a Disciplinary Action

- Sustaining charge of "inexcusable absence without leave"
 - In Frances P. Gonzalez, (1993) SPB Dec. No. 93-13, the Board sustained this charge for an otherwise good employee who had back problems. The Board held:
 - Problems. I ne Board neld:

 An employee's failure to meet the employer's legitimate expectation regarding attendance results in an inherent harm to the public service. The tardiness of one employee, if tolerated, adversely affects the morale of those who meet their obligations. The nature and extent of the particular harm in the instant case was established through the testimony of appellant's supervisor, Douglas Hoffman. Thus, the harm to the public service resulting from appellant's excessive tardiness is clear (Gonzalez, (1993) SPB Dec. No. 93-13, p. 4).

- Definitions of Commission Rule 14.02
 Causes for discipline:
 - (h) Discourteous treatment of the public or other employees can be threatening comments, rude and condescending comments, and even abruptly leaving a meeting (*Bill Balvanz* (1996) SPB Dec. No. 96-16).

- Examples of discourteous treatment of the public or other employees:
 - Correctional officer committed "discourtesy," when she called a fellow employer a "rat snitch," ignored orders from a superior, and then she belittled an inmate in front of others. (WE (1999) SPB Dec. No. 99-09).
 - Discourteous treatment sustained when off-duty correctional officer struck wife because peace officers are held to high-standard to uphold law at all times (JH (2003) SPB Dec. No. 03-05)

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02 Causes for discipline:
 - (i) Improper political activity No State Personnel Board cases on this – when an employee kept placing political literature in a waiting room of his state office he committed "improper political activity" (Gipner v. State Civil Service Commission of California (1936) 13 Cal. App. 2d 100
 - See Conduct unbecoming of an employee in public service

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02
 Causes for discipline:
 - (j) Willful disobedience For an employee to commit willful disobedience, he or she must violate a specific order or command (*Peters v. Mitchell* (1963) 222 Cal.App.2d 852, 862). In addition, there must be an intent to violate the order or command (*Coomes v. State Personnel Board* (1963) 215 Cal.App.2d 770, 775).

Anatomy of a Disciplinary Action

- Difference between "insubordination" (Rule 14.02(e) and "willful disobedience" (Rule 14.02(j):
 - The court in Coomes v. State Personnel Board highlighted the difference between insubordination and willful disobedience, which are often confused with each other:
 - So far as they are distinguishable, dictionary definitions indicate
 that disobedience connotes a specific violation of command or
 prohibition, while insubordination implies a general course of
 mutinous, disrespectful or contumacious conduct. In the statute, the
 term 'disobedience' is modified by the adjective 'willful,' but the
 ground of insubordination is without a modifying adjective. Still, the
 latter term carries a volitional coloration which excludes the notion of
 accidental or even negligent conduct. (Coomes, (1963) 215 Cal. App.
 2d 770, 775).

Anatomy of a Disciplinary Action

- Examples of "willful disobedience" :
 - Theft of paper towels (state property) by employee from State Printing Plant when department issued a memo about theft of property and employee knew the rules and a memo is "willful disobedience" (Nguyen (1999) SPB Dec. No. 99-01). NOTE however that this employee was found NOT to be insubordinate.
 - Refusal to provide doctor's note is not "willful disobedience" (Carver (1996) SPB Dec. No. 96-18)
 - Use of state computers and phone for personal business is "willful disobedience" when employee was explicitly told not to do so (Crovitz (1996) SPBN Dec. No. 96-19)

- Definitions of Commission Rule 14.02
 Causes for discipline:
 - (k) Misuse of County Property Theft or intentional misuse of state property, for non-state purpose, and usually (but not always) for personal gain (Robert Boobar (1993) SPB Dec. No. 93-21).
 - Note however that "personal gain" is NOT a required element

- Examples of Misuse of County Property
 - When a CHP officer lost his radio extender, he should have been charged perhaps with inexcusable neglect of duty, but not misuse of state property. (Robert Boobar (1993) SPB Dec.
 - "Misuse of state property" may also connote improper or incorrect use, or mistreatment or abuse of state property. (Id.)

Anatomy of a Disciplinary Action

- Examples of Misuse of County [state] Property
 - In Flowers v. State Personnel Board (1985) 174 Cal. App. 3d 753, the Court of Appeal affirmed the dismissal of a correctional officer who had been charged with misuse of state property based on evidence that he removed a public address system from the facility in which he worked, telling another correctional officer that the system belonged to him.
 - In Wilson v. State Personnel Board, (1974) 39 Cal. App. 3d 218, the court noted that the appellant, a fish and game warden, had misused state property when he used his patrol vehicle for personal business.

Anatomy of a Disciplinary Action

- Examples of Misuse of County [state] Property -
 - Ernest Dale Switzer (1992) SPB Dec. No. 92-14, we found that a fire apparatus engineer had misused state property when he used state time and a state vehicle to facilitate a private business arrangement between an inmate he supervised and another party who did not work for the state.

Anatomy of a Disciplinary Action

- Examples of Misuse of County [state] Property -

 - **Examples of Misuse of County [state] Property CHP Officer firing gun at fleeing suspect (WM (1994) SPB Dec. No. 94-26). The Board held:

 **Generally speaking, misuse of state property does not occur when an employee uses state property for the purpose for which it was intended even if there is some other element of error attached to the use. For example, if a state worker used the state telephone to conduct personal business during state time, a department might file charges under the Government Code § 1927s, subdivision (p) misuse of state property because the worker was not using the telephone for the purpose it was intended state business. If, however, the same state worker, used the telephone to communicate with another employee about a work assignment but, in the course of the conversation, made abusive comments, the worker might be found to have been discourteous, but he would not have misused the telephone...

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02 Causes for discipline:
 - (I) Violations of County or departmental rules or policies - similar to willful disobedience. Must be a known policy or rule.

- Definitions of Commission Rule 14.02 Causes for discipline:
 - (m) Conduct unbecoming an employee in the public service - a failure of behavior or conduct that is connected to and reflects poorly upon the public
 - Requires harm to or impairment of the public service.
 - Sort of a "catch all provision"
 - SPB calls it "other failure of good behavior" (Gov. Code § 19572(t)

- Best defined by Court of Appeal in Yancey v. State Personnel Board (1985) 167 Cal. App.3d 478:
 There must be more than a failure of good behavior before the Board may discipline an employee [for conduct unbecoming]. The misconduct must be of such a nature as to reflect upon the employee's job. In other words, the "misconduct must bear some rational relationship to his employment and must be of such character that it can easily result in the impairment or disruption of the public service. [Citations.] The legislative purpose behind [this sections] was to discipline conduct which can be detrimental to state service. [Citations.] It is apparent that the Legislature was concerned with punishing behavior which had potentially destructive consequences." [Citations.] The Legislature did not intend "\... to endow the employing agency with the power to dismiss any employee whose personal, private conduct incurred its disapproval." [Citations.]
 (Yancey, supra, 167 Cal. App.3d at 483).

Anatomy of a Disciplinary Action

- Examples of conduct unbecoming an employee in the public
- Examples of conduct unbecoming an employee in the public service:

 The conduct of an instructor at a correctional facility who was convicted for an off-duty DUI has sufficient "nexus" to the job position to warrant discipline. (Lori Ann Mills (1993) SPB Decision No. 93-36).

 CHP Sergeant's "personal visits to a woman while on duty constituted a failure of good behavior which bears a rational relationship to his employment and is of such a character that it can easily result in the impairment or disruption of the public service." (SK (1998) SPB Dec. No. 98-05).

 State police officer in uniform, in state car, while failing to turn on siren/lights, sped through intersection. Discipline sustained as there was sufficient nexus, and poor reflection on job/department (MB, (1995) SPB Dec. No. 95-10).

Anatomy of a Disciplinary Action

- Definitions of Commission Rule 14.02 Causes for discipline:
 - 2011 Additions
 - (n) Negligence
 - (o) Unauthorized release of confidential information from official records
 - (p) Overall unsatisfactory performance evaluation as defined in Rule 13.04
 - Unsatisfactory ratings are cause for discipline (Rule 13.04(b)
 - Failure to improve unsatisfactory ratings is cause for discipline (Rule 13.04(b)).

The Commission's Decision

The Process of Rendering a Decision



Judicial Review of the Commission's Decision

Petition for Writ of Administrative Mandate

